	PAROLE AND PROBATION ADMINISTRATION	Document Code	OTA-PWI-017
	DOCUMENT CREATION/REVISION FORM	Revision Number 05	
		Effectivity Date	May 25, 2021

CREATION / REVISION OF DOCUMENTS			
Document Title	Control of Documented Information Procedure	Document Code	**OTA-PWI-001**
Latest Revision No.	05	Proposed Revision No.	06

Nature of Change:

Revision on the Document Type: prescribed format for letters, endorsements and issuances must be **Arial 12, Single Spacing, Margins – Normal 2.54 cm;** per Memo Order no. 01_s. 2022 dated March 9, 2022 re- Official Format of DOJ-PPA Communications

Proposed Effectivity Date:	**March 18, 2022**	Prepared by (originator): **MARISSA M. ABERION** Document Controller
Document Controller Reviews:	Remarks 1. Completeness- 2. Format-	Reviewed by RO/FO
	Remarks 1. Completeness- 2. Format-	Reviewed by CO

REVIEW AND APPROVAL OF DOCUMENTS		
	Remarks:	Reviewed by
1ST LEVEL: PROCESS OWNER/ DIVISION CHIEF		**MARISSA M. ABERION** Document Controller
2rdLEVEL: QMS LEADER		**ALLAN B. ALCALA** OIC Deputy Administrator
3thLEVEL: Officer-In-Charge/ ADMINISTRATOR		**JULITO M. DIRAY** OIC Administrator

REGISTRATION AND DISTRIBUTION OF DOCUMENTS			
LIST OF COPY HOLDERS (IDENTIFIED BY THE DOCUMENT ORIGINATOR)	OFFICE CONCERNED	NAME	MODE AND DATE OF DISTRIBUTION

	PAROLE AND PROBATION ADMINISTRATION	Document Code	OTA-PWI-017
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RECEIVING OF DOCUMENTS			RETRIEVAL OF OBSOLETE COPY
OFFICE CONCERNED	NAME	DATE AND SIGNATURE	DATE AND SIGNATURE
SUBMISSION OF SOFT COPY TO DOCUMENT CONTROLLER			
SUBMITTED BY OFFICE CONCERNED	RECEIVED BY	DATE	SIGNATURE

1. PURPOSE

This procedure defines the requirements for the creation, review, approval, distribution, use and revision of DOJ-PPA Quality Management System (QMS) documents.

2. SCOPE

This procedure applies only to documents which instruct DOJ-PPA staff on how to carry out activities and tasks; this includes manuals, procedures, forms and instructional sheets or posters. Documents outside of this scope do not require control.

3. DEFINITION OF TERMS

DOJ-PPA	Refers to the Parole and Probation Administration
Document	Information and its supporting medium. The medium can be paper, magnetic, electronic or optical computer disc, photograph or a combination thereof. The following are typically for Agency-wide use • Quality Management System Manual Includes the following: • Scope of the QMS • Description of processes and their interaction • Mandatory procedures (or reference to them) • Other procedures required by the QMS
Internal Document	A document generated by DOJ-PPA.
External Document	A document received by DOJ-PPA from external sources.
Uncontrolled copy	A document copy not subject to further document control after it is used.
Document Masterlist	A list that identifies the documents required by the QMS.

CONTROLLED COPY

4. RESPONSIBILITIES

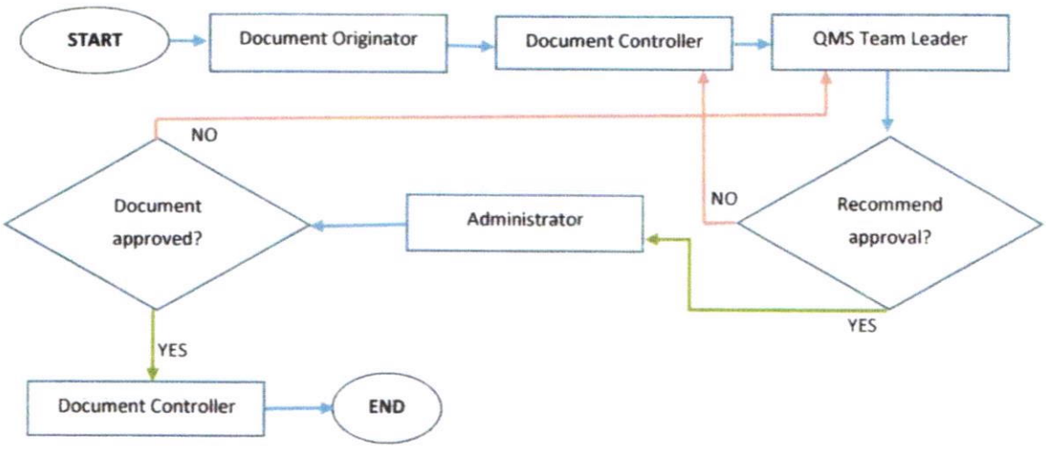
Administrator	Approves internally generated documents.
Regional Director/ Division Chief / Chief Probation Officer	Reviews and recommends the approval of internal documents needed by his/her Division/Office, process or function; approves the distribution of copies of external documents pertaining to his/her process or function.
Document Controller	Ensures that the controls provided in this procedure are effectively implemented throughout DOJ-PPA. Maintains the Central Document Masterlist, listing all the controlled documents of PPA.
Document Originator	Prepares draft of new or revised internal document; Receives new or revised external document from source.
Document Copyholder	Receives new or revised document from Document Controller and maintains copies.

5. PROCEDURE DETAILS

Person Responsible	Details/Functions	Document/Forms Needed
Document Originator (Process Owner)	• Prepares new or revised documents using Document Creation/Revision Form and submits the same to the Document Controller for review	Document Creation/Revision Form and the Created/Revised Document
Document Controller	• Reviews the DCRF and submits it to the QMS Leader for recommending approval	Document Creation/Revision Form and the Created/Revised Document
QMS Team Leader	• Recommends the proposed revision/ creation for approval by the Administrator	Document Creation/Revision Form and the Created/Revised Document
Administrator	• Approves the revised/ created document and routes it back to the document controller for distribution	Document Creation/Revision Form and the Created/Revised Document

Document Controller	• Distributes approved document to all concerned • Update Document Masterlist; files Document Creation/Revision Form. • Archives obsolete master copy of documents and disposes other obsolete copies • Files Documents Masterlist.	Approved Document Creation and Revision Form; Masterlist of Documents

FLOWCHART FOR THE DOCUMENT CREATION/REVISION PROCESS:



6. GUIDELINES

6.1. Creation of Documents

6.1.1. Documents are created by an appropriate subject matter expert. Document Creation/Revision Form must be filled out for this purpose.

6.1.2. All internal documents are created as soft files (MS Word®, etc.); it is recommended that files of a similar type follow the format of other documents in that type.

6.1.3. Created/Revised version must then be sent to the Document Controller for initial review and Regional Director/Division Chief/Chief Probation Officer for review and recommendation for approval.

6.1.4. Original releases of documents are given a revision indicator of "000".

6.2. Review and Approval

6.2.1. The Quality Management System Manual may only be approved by the Administrator of the Parole and Probation Administration upon review and recommendation by the Deputy Administrator. Other documents are to be approved by the Regional Director/Division Chief/Chief Probation Officer.

6.2.2. Hard copy of created/revised version will be sent to the Regional Director/Division Chief/Chief Probation Officer.

6.2.3. Soft copy of the approved document will be sent to the concerned Document Controller (Central Office, Regional and Field Office)

6.2.4. The Regional Director/Division Chief/Chief Probation Officer will resolve any issues with the original author to achieve a satisfactory document and he/she will indicate approval of the document by signing on the designated portion.

6.2.5. The approved document shall then be forwarded to Document Controller.

6.2.6. The Document Controller will maintain a binder of most current hardcopy versions of documents. Any previous hardcopies in this binder are to be discarded or filed in an obsolete document file.

6.2.7. The Document Controller will maintain a computer folder for the latest scanned copy versions of document. This file set must be subject to data backup.

6.2.8. Any previous scanned versions are then moved to a separate folder identified for obsolete documents which are kept for historical purposes.

6.2.9. The directory of official released documents shall serve as a "master list" of documents, indicating the current versions of all documents. No other master list is required.

6.2.10. Review and approval of internal documents shall be as follows:

Document Type	Originator level	Reviewed by:	Approved by:
QMS Manual	CO	Committee	Administrator
Other Manuals	CO, RO, FO	Committee	Administrator
Quality Policy	CO, RO, FO	Committee	Administrator
Quality Plan		Regional Directors, Division Chiefs, Chief Probation and Parole Officers	

Risk and Opportunity Registry	CO, RO, FO	Regional Directors, Division Chiefs, Chief Probation and Parole Officers	QMR Leader
Procedure	CO, RO	Regional Directors, Division Chiefs	QMS Team Leader
Process Flow	CO, RO		
Action Plan for RIPs	CO, RO, FO	Regional Directors, Division Chiefs, Chief Probation and Parole Officers	QMS Team Leader
Forms	CO, RO, FO	Regional Directors, Division Chief, Chief Probation and Parole Officers	QMS Team Leader

6.3. Registration and Distribution of Documents

6.3.1. Registration of Internally Generated Documents

6.3.1.1. New QMS documents as well as revision to existing QMS documents shall be registered by the Document Controller to ensure proper control.

6.3.1.2. Document Reference Codes for internal documents shall have the following format:

Format AAA-BBB-CCC-DDD
Where
AAA Division Code
BBB Document Type
CCC Sequential Number (001, 002...)
DDD Revision Number

Sample ADM-PRO-001-000
Where
ADM Administrative Division
PRO Procedure
001 Control of Document
000 Revision Number

Office/Division Codes:

Administrator's Office	– OTA
Administrative Division	– ADM
Case Management & Records Division	– CMR
Community Services Division	– CSD
Financial Management Division	– FMD
Legal Division	– LED
Planning Division	– PLD
Technical Services Division	– TSD

Document Type:

Quality Manual	– QMA
Policy	– POL
Guidelines	– GUI
Specifications	– SPE
Form	– FOR
Procedure	– PRO
Work Instructions	– PWI

6.3.1.3 The controlled document(s) must contain no other markings other than the document code that follows the prescribed format.

Document Type	Font	Document Header	Content
QMS Manual	Tahoma 11, Single Spacing, Margins -1.5" left, 1.0" right	Logo, Title, Code, Revision no. Effectivity Date and Page no.	See attached table of content
Other Manuals			Introduction, Process Flow and Procedures, Policies and Guidelines
Risk and Opportunity Registry			See attached format
Quality Plan			See attached format
Procedure			Purpose, Scope, Definition of terms, Procedure Details (including flowchart, Guidelines)
Action Plan for RIPs			See attached format

Process Flow	Not applicable	Not applicable, document code at the upper right	Flowchart procedure steps and concerned office
Forms	Not applicable	Not applicable, document code at the upper right	Not applicable
Letters	Arial 12, Single Spacing, Margins – Normal 2.54 cm	Agency Logo, address, website, contact number	As prescribed
Endorsement			
Issuance			

6.3.1.4 Documents and forms contained in the Service Manual shall retain their original document numbers.

6.3.1.5 For the controlled documents with previous markings, as in those contained in the DOJ-PPA Service Manual, the revision number must be placed below the document code. The following format should be followed:

Document Code – PPA Form 37
Revision Number – Revision 001

6.3.2. The Document Controller will maintain a list of where controlled hardcopy documents are to be distributed. The Document Controller will be responsible for distributing updated copies of such controlled hardcopies to proper locations. Controlled hardcopies shall be stamped CONTROLLED in red ink on the first page, to distinguish them from uncontrolled documents or photocopies.

6.3.3. Controlled hardcopies shall not be altered or modified by users, and must remain legible and readily identifiable. This includes hand markings by unauthorized personnel. The only exception to this rule is for Forms (see below.)

6.3.4. Controlled hardcopies may not be photocopied, unless for the purposes of sending to a recipient who is authorized to receive uncontrolled versions of PPA documents (i.e., relevant interested parties). The only exception to this rule is for Forms (see below.)

6.3.5. Document Format shall apply to all documents as follows:

6.4 Revising Documents

6.3.6. Changes to documents shall follow the same procedure as document creation.

6.3.7. Only process owners may propose revision of documents.

6.3.8. Any change to documents that require regulatory authority review and approval shall be submitted accordingly, and not implemented until such approval in writing is obtained.

6.4.3.1 When processes are modified, appropriate documentation shall be observed.

6.4. Forms

6.4.1. Controlled forms, as deemed necessary by authorized personnel, may be reproduced without prior approval by the head of the agency.

6.4.2. Forms that are used only within a specific area such as regional and field offices, and divisions that do not adversely affect the core and support processes, need not be registered with the QMS Document Controller.

6.5. Controlling Documents of External Origin

6.6.1 All externally generated documents shall be registered with the QMS Document Controller by process owners.

6.6.2 Changes / updates in the externally generated documents shall likewise be registered with the QMS Document Controller.

6.6.3 The codes of externally generated documents shall be retained.

6.6. Retaining Documented Information

6.6.1. The Document Controller updates the Document Masterlist and files Document Creation/Revision Form.

6.6.2. Archives obsolete master copy of document and dispose other copies.

6.6.3. Files Document Masterlist.

6.6.4. The soft and hard copy of each approved form must be sent to the Document Controller for inclusion in the document control area and in the Internal Documents Master List.

6.6.5. All offices shall ensure that the Documented Information are maintained with labels for easy identification and retrieval.

6.6.6. Only marking pens are used on documented information. Pencil markings shall be considered unofficial.

6.6.7. In case of erasure or correction, the corrected data bears the initials of the person who corrected it.

For example: ~~6312~~ 7564 XYZ

6.6.8. Every process owner is responsible for the creation, collection and identification of all documented information related to his/her work and which shall constitute the office files.

6.6.9. Documented information are kept in appropriate locations to minimize physical deterioration, damage, and loss. As such, records may be protected in accordance with the following:

- Use of expandable folders, protective sheets and/or ring binders;
- Stored in shelves or steel cabinets to prevent from deterioration;
- Regular back up of e-files; and,
- Access restriction, through password to prevent from unauthorized use.

Maintenance and disposal are done in accordance with the Records Disposition Schedule. To ensure easy retrieval, filing cabinets, shelves, boxes, folders and envelopes are labeled according to the established filing system. Documented information borrowed by other offices or workgroups, are traced using logbooks or log sheets.

6.6.10. Disposition Schedule- Records Retention Matrix is used as reference for monitoring the retention and disposal of documents.

Prepared by:	Reviewed by:	Approved by:
MARISSA M. ABERION Document Controller	**ALLAN B. ALCALA** QMS Team Leader	**JULITO M. DIRAY** OIC Administrator
Date: 3/18/2022	Date: 3/18/22	Date: